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THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

Application No.: 10/694,634

Confirmation No.: 2636

Applicant: Tan *et al.*

Filed: October 27, 2003

TC/AU.: 1633

Examiner: Illeana Popa

Docket No.: 12062.105020 (RSK020)

Customer No.: 20786

Title: Methods and compounds for disruption of CD40R/CD40L signaling in the treatment of Alzheimer's disease

Mail Stop Amendment
Commissioner for Patents
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Alexandria, VA 22313-1450

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Respectfully submitted,

F. Russell Denton, Ph.D., Esq.

Reg. No. 51,611

Dated: May 17, 2007
King & Spalding LLP
1180 Peachtree Street, 34th Floor
Atlanta, GA 30309-3521
Office: (404) 572-4600/ Fax: (404) 572-5134

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Deborah Stephens

Deborah Stephens



Submittal Number 149A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 11

Complete if Known

Application Number	10/694,634
Filing Date	October 27, 2003
First Named Inventor	Tan et al.
Group Art Unit	1633
Examiner Name	Ileana Popa
Attorney Docket Number	12062.105020 (RSK020)

4565673_1.DOC1

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages/Relevant Figures Appear
		Number	Kind Code (if known)			
	AA	3,791,932	A	Schuurs et al.	02-12-1974	
	AB	3,839,153	A	Schuurs et al.	10-01-1974	
	AC	3,850,578	A	McConnell	11-26-1974	
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	AAF	5,175,384	A	Krimpenfort et al.	12-29-1992	

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Substitute for form 1449A/PTO				<i>Complete if Known</i>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Application Number	10/694,634
Sheet	2		11	Filing Date	October 27, 2003
				First Named Inventor	Tan <i>et al.</i>
				Group Art Unit	1633
				Examiner Name	Ileana Popa
				Attorney Docket Number	12062.105020 (RSK020)

4565673_1.DOC_1

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		Number	Kind Code (if known)		
	BA	5,175,385	A	Wagner <i>et al.</i>	12-29-1992
	BB	5,192,659	A	Simons	03-09-1993
	BC	5,221,778	A	Byrne <i>et al.</i>	06-22-1993
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	BT	5,833,987	A	Noelle <i>et al.</i>	11-10-1998
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	BV	6,194,150	B1	Stinchcomb <i>et al.</i>	02-27-2001
	BW	6,197,584	B1	Bennett <i>et al.</i>	03-06-2001
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	BAB	2005-0089939	A1	Tan <i>et al.</i>	04-28-2005

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Sheet	3		11	Attorney Docket Number	12062.105020 (RSK020)

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FOREIGN PATENT DOCUMENTS

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		Office ³	Number Kind Code ² (if known)				
	CA	WO	93/14200	A1	TSI Corporation	07-22-1993	
	CB	WO	94/06908	A1	Regents of Univ. California	03-31-1994	
	CC	WO	94/23049	A2	Johns Hopkins University	10-13-1994	
	CD	WO	94/28123	A1	Ontario Cancer Institute	12-08-1994	
	CE	WO	97/32016	A1	Ohio State Research Foundation	09-04-1997	
	CF	WO	00/23590	A2	Georgetown Univ. Med. Center	04-27-2000	
	CG	WO	01/96397	A2	Biogen Inc.	12-20-2001	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ⁶
	CH	AUGUST, J., et al., Eds., <u>Gene Therapy</u> (Advances in Pharmacology, Vol. 40) (Academic Press, San Diego, Calif., 1997, ISSN 1054-3589), <i>table of contents</i> .	
	CI	ARCH, R.H., et al., "Tumor necrosis factor receptor-associated factors (TRAFs)--a family of adapter proteins that regulates life and death," <i>Genes Dev.</i> , 12(18):2821-2830 (September 15, 1998).	
	CJ	AUSUBEL, F.M., et al., Eds., <u>Current Protocols in Molecular Biology</u> (John Wiley and Sons, Baltimore, Maryland, 1989), <i>table of contents</i> .	
	CK	BACSKAI, B.J., et al., "Imaging of amyloid-beta deposits in brains of living mice permits direct observation of clearance of plaques with immunotherapy," <i>Nature Med.</i> , 7(3):369-372 (March 2001).	
	CL	BALL, M.J., et al., "A new definition of Alzheimer's disease: a hippocampal dementia," <i>Lancet</i> , 1(8419):14-16 (January 5, 1985).	
	CM	BARD, F., et al., "Peripherally administered antibodies against amyloid beta-peptide enter the central nervous system and reduce pathology in a mouse model of Alzheimer disease," <i>Nature Med.</i> , 6(8):916-919 (August 2000).	
	CN	BARGER, S.W., and HARMON, A.D., "Microglial activation by Alzheimer amyloid precursor protein and modulation by apolipoprotein E," <i>Nature</i> , 388(6645):878-881 (August 28, 1997).	
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	CP	BLOCK, M.L., and HONG, J.S., "Microglia and inflammation-mediated neurodegeneration: multiple triggers with a common mechanism," <i>Prog. Neurobiol.</i> , 76(2):77-98 (June 2005).	
	CQ	BORREBAECK, C.A.K., Ed., <u>Antibody Engineering--A Practical Guide</u> (W.H. Freeman and Co., 1992), <i>table of contents</i> .	

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OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

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	DA	BURKE, D.T., and OLSON, M.V., "Preparation of clone libraries in yeast artificial-chromosome vectors," Chap. 17 in <u>Methods in Enzymology</u> , Vol. 194: Guide to Yeast Genetics and Molecular Biology, (Academic Press) pp. 251-270 (1991).	
	DB	CALINGASAN, N.Y., <i>et al.</i> , "Identification of CD40 ligand in Alzheimer's disease and in animal models of Alzheimer's disease and brain injury," <i>Neurobiol. Aging</i> , 23(1):31-39 (January-February 2002).	
	DC	CAPECCHI, M.R., "Altering the genome by homologous recombination," <i>Science</i> , 244(4910):1288-1292 (June 16, 1989).	
	DD	CARSON, M.J., <i>et al.</i> , "Mature microglia resemble immature antigen-presenting cells," <i>Glia</i> , 22(1):72-85 (January 1998).	
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	DF	CHANG <i>et al.</i> , <u>Somatic Gene Therapy</u> , CRC Press, Ann Arbor, MI (1995), <i>table of contents</i> .	
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	DI	DeMATTOS, R.B., <i>et al.</i> , "Brain to plasma amyloid-beta efflux: a measure of brain amyloid burden in a mouse model of Alzheimer's disease," <i>Science</i> , 295(5563):2264-2267 (March 22, 2002).	
	DJ	DeMATTOS, R.B., <i>et al.</i> , "Peripheral anti-A beta antibody alters CNS and plasma Aβ clearance and decreases brain Aβ burden in a mouse model of Alzheimer's disease," <i>Proc. Natl. Acad. Sci. U.S.A.</i> , 98(15):8850-8855 (July 17, 2001) (Electronic publication July 3, 2001).	
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	DL	DICKINSON, P., <i>et al.</i> , "High frequency gene targeting using insertional vectors," <i>Hum. Mol. Genet.</i> , 2(8):1299-1302 (August 1993).	
	DM	DING, S.W., "RNA silencing," <i>Curr. Opin. Biotechnol.</i> , 11(2):152-156 (April 2000).	
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	DO	ELLIS, R. J., <i>et al.</i> , "Cerebral amyloid angiopathy in the brains of patients with Alzheimer's disease: the CERAD experience, Part XV," <i>Neurology</i> , 46(6):1592-1596 (June 1996).	

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	EA	FOY, T.M., <i>et al.</i> , "Immune regulation by CD40 and its ligand GP39," <i>Annu. Rev. Immunol.</i> , 14:591-617 (1996).	
	EB	FRACKOWIAK, J., <i>et al.</i> , "Ultrastructure of the microglia that phagocytose amyloid and the microglia that produce beta-amyloid fibrils," <i>Acta Neuropathol. (Berl.)</i> , 84(3):225-233 (1992).	
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	ED	GILBOA, E., <i>et al.</i> , "Transfer and expression of cloned genes using retroviral vectors," <i>BioTechniques</i> , 4(6):504-512 (1986).	
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	EG	HAMILTON, A.J., and BAULCOMBE, D.C., "A species of small antisense RNA in posttranscriptional gene silencing in plants," <i>Science</i> , 286(5441):950-952 (October 29, 1999).	
	EH	HARLOW, E., and LANE, D., Chapter 5, "Immunizations," in <i>Antibodies: A Laboratory Manual</i> (Cold Spring Harbor Laboratory, Cold Spring Harbor, NY, 1988), pp. 53-59.	
	EI	HARRIS-WHITE, M.E., <i>et al.</i> , "Effects of transforming growth factor-β (isoforms 1-3) on amyloid-β deposition, inflammation, and cell targeting in organotypic hippocampal slice cultures," <i>J. Neurosci.</i> , 18(24):10366-10374. (December 15, 1998).	
	EJ	HENN, V., <i>et al.</i> , "CD40 ligand on activated platelets triggers an inflammatory reaction of endothelial cells," <i>Nature</i> , 391(6667):591-594 (February 5, 1998).	
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	EM	HOLLENBAUGH, D., <i>et al.</i> , "Expression of functional CD40 by vascular endothelial cells" <i>J. Exp. Med.</i> , 182(1):33-40 (July 1, 1995).	
	EN	HSIAO, K., <i>et al.</i> , "Correlative memory deficits, Abeta elevation, and amyloid plaques in transgenic mice," <i>Science</i> , 274(5284):99-102 (October 4, 1996).	
	EO	HSIAO, K., <i>et al.</i> , "Age-related CNS disorder and early death in transgenic FVB/N mice overexpressing Alzheimer amyloid precursor proteins," <i>Neuron</i> , 15(5):1203-1218 (November 1995).	
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	FA	HUNTER, C.P., "Genetics: a touch of elegance with RNAi," <i>Curr. Biol.</i> , 9(12):R440-R442 (June 17, 1999).	
	FB	HUSTON, J.S., <i>et al.</i> , "Protein engineering of single-chain Fv analogs and fusion proteins," <i>Methods Enzymol.</i> , 203:46-88 (1991).	
	FC	HUXLEY, C., <i>et al.</i> , "The human HPRT gene on a yeast artificial chromosome is functional when transferred to mouse cells by cell fusion," <i>Genomics</i> , 9(4):742-50 (April 1991).	
	FD	INNIS, M.A., <i>et al.</i> , <u>PCR Protocols: A Guide To Methods And Applications</u> , Academic Press, San Diego, CA (1990) <i>table of contents</i> .	
	FE	IRIZARRY, M.C., <i>et al.</i> , "APPSw transgenic mice develop age-related A beta deposits and neuropil abnormalities, but no neuronal loss in CA1," <i>J. Neuropathol. Exp. Neurol.</i> , 56(9):965-973 (September 1997).	
	FF	IWATSUBO, T., <i>et al.</i> , "Visualization of Aβ42(43) and Aβ40 in senile plaques with end-specific Ab monoclonals: evidence that an initially deposited species is Aβ42(43)" <i>Neuron</i> , 13(1):45-53 (July 1994).	
	FG	JAKOBOWITS, A., <i>et al.</i> , "Germ-line transmission and expression of a human-derived yeast artificial chromosome," <i>Nature</i> , 362(6417):255-255 (March 18, 1993).	
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	FI	JANUS, C., <i>et al.</i> , "Aβ peptide immunization reduces behavioural impairment and plaques in a model of Alzheimer's disease," <i>Nature</i> , 408(6815):979-982 (December 21-28, 2000).	
	FJ	JARRETT, J.T., <i>et al.</i> , "Seeding "one-dimensional crystallization" of amyloid: a pathogenic mechanism in Alzheimer's disease and scrapie?" <i>Cell</i> , 73(6):1055-1058 (June 18, 1993).	
	FK	JARRETT, J.T., <i>et al.</i> , "The carboxy terminus of the β amyloid protein is critical for the seeding of amyloid formation: implications for the pathogenesis of Alzheimer's disease," <i>Biochemistry</i> , 32(18):4693-4697 (May 11, 1993).	
	FL	JOHNSON, S., and BIRD, R.E., "Construction of single-chain Fv derivatives monoclonal antibodies and their production in <i>Escherichia coli</i> ," <i>Meth. Enzymol.</i> , 203:88-98 (1991).	
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				First Named Inventor	Tan <i>et al.</i>
				Group Art Unit	1633
				Examiner Name	Ileana Popa
				Attorney Docket Number	12062.105020 (RSK020)

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	GA	KALARIA, R.N., "Microglia and Alzheimer's disease," <i>Curr. Opin. Hematol.</i> , 6(1):15-24 (January 1999).	
	GB	KARMANN, K., <i>et al.</i> , "CD40 on human endothelial cells: inducibility by cytokines and functional regulation of adhesion molecule expression," <i>Proc. Natl. Acad. Sci. U.S.A.</i> , 92(10), 4342-4346 (May 9, 1995).	
	GC	KLEGERIS, A., <i>et al.</i> , "Interaction of Alzheimer beta-amyloid peptide with the human monocytic cell line THP-1 results in a protein kinase C-dependent secretion of tumor necrosis factor-alpha," <i>Brain Res.</i> , 747(1):114-121 (January 30, 1997).	
	GD	LAMB, B.T., <i>et al.</i> , "Introduction and expression of the 400 kilobase amyloid precursor protein gene in transgenic mice [corrected]," <i>Nat. Genet.</i> , 5(1):22-30 (September 1993).	
	GE	LAWRENCE, C.W., "Classical Mutagenesis Techniques," Chapter 17 in <i>Methods in Enzymology, Vol. 194: Guide to Yeast Genetics and Molecular Biology</i> , (Academic Press) pp. 273-281 (1991).	
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	GL	MARSHAK, D.R., <i>et al.</i> , <u>Strategies for Protein Purification and Characterization. A laboratory course manual</u> , CSHL Press, 1996, <i>table of contents</i> .	
	GM	McGEER, E.G., and McGEER, P.L., "The importance of inflammatory mechanisms in Alzheimer disease," <i>Exper. Gerontol.</i> , 33(5):371-378 (August 1998).	
	GN	McGEER, P.L., and McGEER, E.G., "Inflammation of the brain in Alzheimer's disease: implications for therapy," <i>J. Leukocyte Biol.</i> , 65(4):409-415 (April 1999).	
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	HA	MEDA. L., <i>et al.</i> , "Activation of microglial cells by beta-amyloid and interferon-gamma," <i>Nature</i> , 374(6523): 647-650 (April 13, 1995).	
	HB	MERNAUGH, R., and MERNAUGH, G., "An overview of phage-displayed recombinant antibodies," Chap. 25 in <u>Molecular Methods in Plant Pathology</u> , Singh, R.P., and Sing, U.S., Eds. (CRC Press, Boca Raton, Fla., 1995), ISSN 0-87371-877-1), pp. 359-365.	
	HC	MISHELL and SHIIGI (eds), <u>Selected Methods in Cellular Immunology</u> , W.H. Freeman and Co., New York (1980) table of contents.	
	HD	MORGAN, D., <i>et al.</i> , "A β peptide vaccination prevents memory loss in an animal model of Alzheimer's disease," <i>Nature</i> , 408(6815):982-985 (December 21-28, 2000).	
	HE	NGUYEN, V.T., <i>et al.</i> , "Post-transcriptional inhibition of CD40 gene expression in microglia by transforming growth factor- \square ," <i>Eur. J. Immunol.</i> , 28(8):2537-2548, (August 1998).	
	HF	NI, C.Z., <i>et al.</i> , "Molecular basis for CD40 signaling mediated by TRAF3," <i>Proc. Natl. Acad. Sci. U.S.A.</i> , 97(19):10395-10399 (September 12, 2000).	
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	HH	OLEANA, V.H., <i>et al.</i> , "Increased expression of the TIAR protein in the hippocampus of Alzheimer patients," <i>Neuroreport</i> , 9(7):1451-1454 (May 11, 1998).	
	HI	OPPENHEIM, J.J., <i>et al.</i> , "Cytokines," Chap. 9 in <u>Basic and Clinical Immunology</u> (8th Edition), Stites, D.P., Terr, A.I., and Parslow, T.G., Eds., Appleton & Lange, Norwalk, Conn., 1994), pp. 105-123.	
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	HK	PERBAL, <u>A Practical Guide to Molecular Cloning</u> , John Wiley & Sons, New York (1988), table of contents.	
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	IA	ROGERS, J., et al., "Expression of immune system-associated antigens by cells of the human central nervous system: relationship to the pathology of Alzheimer's disease," <i>Neurobiol. Aging</i> , 9(4):339-349 (July-August 1988).	
	IB	ROGERS, J., et al., "Inflammation and Alzheimer's disease pathogenesis," <i>Neurobiol. Aging</i> , 17(5):681-686 (September-October 1996).	
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	ID	ROTHSTEIN, R., "Targeting, disruption, replacement, and allele rescue: integrative DNA transformation in yeast," Chap. 19 in <u>Methods in Enzymology</u> , Vol. 194: Guide to Yeast Genetics and Molecular Biology, (Academic Press) pp. 281-301 (1991).	
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	IG	SAMBROOK, J., et al., "Analysis of Genomic DNA by Southern Hybridization," <u>Molecular Cloning: A Laboratory Manual</u> , 2d. Ed., (Cold Spring Harbor Laboratory Press, New York, 1989), pp. 9.31-9.57 and pp. 18.60-18.75.	
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	IN	SCHÖNBECK, U., et al., "The CD40/CD154 receptor/ligand dyad," <i>Cell Mol. Life Sci.</i> , 58(1):4-43 (January 2001).	

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	JA	SEMPOWSKI, G.D., <i>et al.</i> , "CD40 is a functional activation antigen and B7-independent T cell costimulatory molecule on normal human lung fibroblasts," <i>J. Immunol.</i> , 158(10): 4670-4677 (May 15, 1997).	
	JB	SEUBERT, P., <i>et al.</i> , "Isolation and quantification of soluble Alzheimer's β-peptide from biological fluids," <i>Nature</i> , 359(6393):325-327 (September 24, 1992).	
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	JD	STEWART, W.F., <i>et al.</i> , "Risk of Alzheimer's disease and duration of NSAID use," <i>Neurology</i> , 48(3):626-632 (March 1997).	
	JE	STOUT, R.D., and SUTTLES, J., "The many roles of CD40 in cell-mediated inflammatory responses," <i>Immunology Today</i> , 17(10):487-492 (October 1996).	
	JF	STRAUSS, W.M., <i>et al.</i> , "Germ line transmission of a yeast artificial chromosome spanning the murine alpha 1(I) collagen locus," <i>Science</i> , 259(5103):1904-1907 (March 26, 1993).	
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	KA	THINAKARAN, G., <i>et al.</i> , "Metabolism of the "Swedish" amyloid precursor protein variant in neuro2a (N2a) cells. Evidence that cleavage at the "beta-secretase" site occurs in the golgi apparatus," <i>J. Biol. Chem.</i> , 271(16):9390-9397 (April 19, 1996).	
	KB	TOGO, T., <i>et al.</i> , "Expression of CD40 in the brain of Alzheimer's disease and other neurological diseases," <i>Brain Res.</i> , 885(1):117-121 (December 1, 2000).	
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Examiner Signature		Date Considered	
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